PTO/SB/08A (08-03)

Approved for use through 07/31/2006. OMB 0651-0031 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary) _of

Complete if Known **Application Number** 10/020,554 Filing Date 12/3/2001 First Named Inventor Pham, Duc Art Unit 2134 **Examiner Name** Poltorak, P Attorney Docket Number | AESN3006

| Examiner Initials* | Cite No.1 | Document Number Number-Kind Code ² (f known) | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Wh Relevant Passages or Relev Figures Appear |
|-----------------------|--------------|---|--------------------------------|--|---|
| 17 | | ^{US-} 5931947 | 08.03.1999 | Burns et al. | |
| 10 | | ^{US-} 5918074 | 06.29.1999 | Wright et al. | |
| | | ^{US-} 5872783 | 02.16.1999 | Chin | |
| | | ^{US-} 5905725 | 05.18.1999 | Sindhu et al. | |
| | | ^{US-} 6260155 | 07.10.2001 | Dellacona | |
| | | ^{US-} 6160819 | 12.12.2000 | Partridge et al. | |
| | | ^{US-} 6266.705 | 07.24.2001 | Ullum et al | |
| | | ^{US-} 6263445 | 07.17.2001 | Blumenau | |
| | | ^{US-} 6157955 | 12.05.2000 | Nerad et al. | |
| | | ^{US-} 6252878 | 06.26.2001 | Locklear, Jr. et al. | |
| | | ^{US-} 6292827 | 09.18.2001 | Raz | |
| | | ^{US-} 6351775 | 02.26.2002 | Yu | |
| | | ^{US-} 6091720 | 07.18.2000 | Bedard et al. | |
| | | ^{US-} 6078943 | 06.20.2000 | Yu | |
| V | | US- | | | |
| M | | US- | | | |
| | | US- | | | |
| | | US- | | | |
| | Ť | US- | | | |

| | FOREIGN PATENT DOCUMENTS | | | | | | |
|--------------------|--------------------------|---|---------------------|--|---|---|--|
| Examiner Initials* | Cite No.1 | Foreign Patent Document | Publication Date | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages | Γ | |
| | | Country Code ³ Number ⁴ Kind Code ⁵ (if known) | MM-DD-YYYY | | Where Relevant Passages Or Relevant Figures Appear | 7 | |
| | | | _ | | | | |
| | | | | | | ┡ | |
| | | | | | | - | |
| | | · | | | | r | |
| | | | | | | ┌ | |

Date Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. *Applicant's unique citation designation number (optional). *See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. *Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). *For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. *Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. *Applicant is to place a check mark here if English language Translation is attached.

Translation is attached.
This collection of Information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Approved for use through 07/31/2006. OMB 0551-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number. Complete if Known Substitute for form 1449/PTO **Application Number** 10/020,554 Filing Date 12/3/2001 INFORMATION DISCLOSURE First Named Inventor Pham, Duc STATEMENT BY APPLICANT Art Unit 2134 (Use as many sheets as necessary) **Examiner Name** Poltorak, P Attorney Docket Number AESN3006

| Examiner Initials* | Cite No. ¹ | Document Number Number-Kind Code ^{2 (f known)} | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
|-----------------------|--------------------------|--|--------------------------------|--|---|
| 10 | | ^{US-} 5453979 | 09.26.1995 | Schibler et al. | |
| | | ^{US-} 5850395 | 12.15.1998 | Hauser et al. | |
| | | ^{US-} 5974463 | 10.26.1999 | Warrier et al. | |
| | | ^{US-} 6253193 | 06.26.2001 | Ginter et al. | " " |
| | | ^{US-} 6259699 | 07.10.2001 | Opalka et al. | |
| | | ^{US-} 6157649 | 12.05.2000 | Peirce et al. | |
| 17 | | ^{US-} 5754791 | 05.19.1998 | Dahlgren et al. | |
| V | | ^{US-} 5566170 | 10.15.1996 | Bakke et al. | |
| 10 | | US- | | | - |
| 7// | | US- | | | |
| | _ | US- | | | |
| | | UŞ- | | | |
| | | UŞ- | | | |
| | | US- | | | |
| | | US- | <u> </u> | | · |
| | | US- | | | |

| | | FORE | IGN PATENT DOCU | MENTS | | |
|-----------------------|--------------|--|------------------------|--|---|---|
| Examiner Initials* | Cite No.1 | Foreign Patent Document | Publication Date | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages | |
| | | Country Code ³ Number ⁴ Kind Code ⁵ (# known) | MM-DD-YYYY | | Or Relevant Figures Appear | ľ |
| | | · | | | | |
| | | | | | | L |
| | | | | | | Ļ |
| | | | | | | t |
| | | | | | | |
| Examiner Signature | T - | | | Date | 2/2/10/ | _ |

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 'Applicant's unique citation designation number (optional). 'See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. 'Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 'For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. *Nind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. *Applicant is to place a check mark here if English language

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the Inis collection of information is required by 37 CFR 1.97 and 1.96. The information is required to obtain or retain a generit by the public which is to the tailuty support to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Petent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

PTO/SB/08B (08-03) Approved for use through 07/31/2006. OMB 0651-0031

| Under the Paperwork Reduction Act of 1995, no persons are re Substitute for form 1449/PTO | | re required to respond to a collection | of information unless it contains a valid Of Complete if Known | MB control number. | | |
|--|----------------|--|--|------------------------|-------------|---------------|
| 00000 | | • | | Application Number | 10/020,554 | |
| INF | DRMATIC | N DIS | CLOSURE | Filing Date | 12/3/2001 | |
| STA | TEMENT | BY A | PPLICANT | First Named Inventor | Pham, Duc | ····· |
| | (Use as many . | choote on n | | Art Unit | 2134 | |
| | (Ose as many . | 511 00 15 6 5 116 | icessary) | Examiner Name | Poltorak, P | * |
| Sheet | 3 | of | 16 | Attorney Docket Number | AESN3006 | |

| | | NON PATENT LITERATURE DOCUMENTS | |
|--|--|--|-------------|
| Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-iss number(s), publisher, city and/or country where published. IBM, IBM Network Processor (IBM32NPR161EPXCAC133) Product Overview, Published 10/04/1999 | | T² | |
| | | IBM, IBM Network Processor (IBM32NPR161EPXCAC133) Product Overview, Published 10/04/1999 | |
| N | | BROADCOM, BCM5820 E-Commerce Product Brief, 5820-PB00-R-3.26.01, Published 2001 | |
| | | BROADCOM, BCM5840 Gigabit Security Processor Product Brief, 5840-PB00-R-12.6.00, Published 2000 | |
| | | IBM, The Network Processor - Enabling Technology for High-Performance Networking, Published 8-99 | |
| | | IBM, Packet Routing Switch PRS28G Product Sheet, Undated. | |
| | | IBM, Packet Routing Switch PRS28G, Version 1.7 Datasheet, prs28.04.fm, February 6, 2001 | |
| \/ | | IBM, IBM PowerNP™ NP4GS3 Network Processor Preliminary Datasheet, May 18, 2001 | |
| YZ | | IBM, Product Overview, IBM PowerNP NP4GS3, Network Processor Solutions, April 16, 2001 | |
| | | | |
| | | | |

Examiner Date Signature Considered

. : .

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The Information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:

Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

| Substitute for form 1449/PTO | Complete it Known | | |
|------------------------------|----------------------|------------|--|
| | Application Number | 10/020,554 | |
| INFORMATION DISCLOSURE | Filing Date | 12/3/2001 | |
| | First Named Inventor | Pham, Duc | |
| STATEMENT BY ADDITIONAL | A 11-11 | | |

Art Unit |2134 (Use as many sheets as necessary) Examiner Name Poltorak, P Sheet 4 AESN3006 Attomey Docket Number

| | | | U. S. PATEN | T DOCUMENTS | |
|-----------------------|--------------------------|---|--------------------------------|--|--|
| Examiner Initials* | Cite No. ¹ | Document Number Number-Kind Code ² (f innown) | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevan Figures Appear |
| 10 | | ^{US-} 5850446 | 12.15.1998 | Berger et al. | |
| 77 | | ^{US-} 2002/0184487 | 12.05.2002 | Badamo et al. | |
| 7 | | US- | | | |
| - | | US- | | | |
| • | | US- | | | * |
| | | US- | | | |
| | | US- | | | |
| | | US- | | | |
| | | US- | | | · · · · · · · · · · · · · · · · · · · |
| | | US- | | | - |
| | | US- | | | |
| | | US- | | | |
| | | US- | | | |
| | | US- | | | - |
| | | US- | | | |
| | | US- | | · | |
| | | US- | - | | |
| | | US- | | | |
| | | US- | <u> </u> | | |

| | | FORE | IGN PATENT DOCU | MENTS | | |
|--------------------|--------------|--|---------------------|--|---|----------------|
| Examiner Initials* | Cite No.1 | Foreign Patent Document | Publication Date | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages | Ī |
| | | Country Code ³ Number ⁴ Kind Code ³ (# known) | MM-DD-YYYY | | Or Relevant Figures Appear | T ⁶ |
| _ | | | | | | |
| | <u></u> | | | | | |
| | | | | | | |
| _ | ļ | | | | | Ļ |
| | | | | | ļ <u>.</u> | L |
| | L | | | | | |

Examiner Date Signature Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered, include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. Senter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. Applicant is to place a check mark here if English language

Translation is attached.

This collection of Information is required by 37 CFR 1.97 and 1.98. The Information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

PTO/SB/08B (08-03) Approved for use through 07/31/2006. OMB 0651-0031

| | U.S. Patent and Trademark Office; U.S. I | DEPARTMENT OF COMMERCE |
|--|--|---------------------------------|
| Under the Paperwork Reduction Act of 1995. | no persons are required to respond to a collection of information unless it contains | ins a valid OMB control number. |

| Substitu | ite for form 1449/PTO | | | | Complete if Known |
|----------|------------------------|--------------|------------|------------------------|-------------------|
| Substitu | 10 101 101111 1445/710 | | | Application Number | 10/020,554 |
| INF | ORMATIO | N DIS | CLOSURE | Filing Date | 12/3/2001 |
| STA | ATEMENT | BY A | PPLICANT | First Named Inventor | Pham, Duc |
| | (Use as many si | haate as m | Inconstant | Art Unit | 2134 |
| | (US# as many si | 116613 43 11 | ecessary) | Examiner Name | Poltorak, P |
| Sheet | 5 | of | 16 | Attorney Docket Number | AESN3006 |
| | | | | | |

| Examiner Initials* | Cite No.1 | NON PATENT LITERATURE DOCUMENTS Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue | T² |
|-----------------------|--------------|---|----------|
| | 110. | number(s), publisher, city and/or country where published. | <u>'</u> |
| PP | | ALAN RADDING, Storage ROI: Truth & Fiction, Infoworld Custom Meda Group, 2001 | |
| 1 | | IETF, IP STORAGE WORKING GROUP, iSCSI Requirements and Design Considerations, Document: draft-ietf-ips-iscsi-reqmts-05.txt, July 2001 | |
| V | | IETF, IP Security Working Group, Security Properties of the IPsec Protocol Suite, Document draft-krywaniuk-ipsec-properties-00.txt, July 9, 2001 | |
| de | | IETF, iSCSI, Document draft-ietf-ips-iscsi-08.txt, 30-Sep-01 | |
| | | | |
| | | | |
| | | | |
| | | Y | |
| <u> </u> | | | |
| | | | - |
| | <u> </u> | | |
| Examiner Signature | | Date Considered 7/31/6 | 1 |

*EXAMINER: Initial if reference edusidered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not

^{*}EXAMINER: Initial if reference dissidered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number. Substitute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

of

| Complete if Known | | | | |
|------------------------|-----------------|--|--|--|
| Application Number | 10/020,554 | | | |
| Filing Date | 12/3/2001 | | | |
| First Named Inventor | Pham, Duc et al | | | |
| Art Unit | 2134 | | | |
| Examiner Name | Poltorak, P | | | |
| Attorney Docket Number | AESN3006 | | | |

| Examiner | Cite | Document Number | Publication Date | T DOCUMENTS Name of Patentee or | Pages, Columns, Lines, Where |
|-----------|------|---|------------------|----------------------------------|---|
| Initials* | No. | Number-Kind Code ^{2 (f known)} | MM-DD-YYYY | Applicant of Cited Document | Relevant Passages or Relevant Figures Appear |
| 14 16 | | ^{US-} 6038668 | 03-2000 | Chipman et al. | |
| 77 | | ^{US-} 6529950 | 03-2003 | Lumelsky et al. | |
| | | US- 6199077 | 03-2001 | Inalla et al. | |
| X | | ^{US-} 6594763 | 07-2003 | Madoukh | |
| | | ^{US-} 6330677 | 12-2001 | Madoukh | |
| 1, | | ^{US-} 6477644 | 11-2002 | Turunen | |
| V | | US- 6542992 | 04-2003 | Peirce et al. | |
| · nn | | ^{US-} 6560217 | 05-2003 | Peirce et al. | |
| 11.71 | | ^{US-} 6845395 | 01-2005 | Blumenau et al. | · |
| | | US- | | | |
| | | UŞ- · | | | |
| | | US- | 1 | | |
| | | US- | | | |
| | i | US- | <u> </u> | | - |

| | | FORE | IGN PATENT DOCU | MENTS | | - |
|-----------------------|--|-------------------------|---------------------|--|---|---|
| Examiner Initials* | Cite No. | Foreign Patent Document | Publication Date | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages | Γ |
| | Country Code ³ "Number ⁴ "Kind Code ³ (# known) | MM-DD-YYYY | | Or Relevant Figures Appear | Ĺ | |
| | | | | | <u> </u> | L |
| | - | | | | | F |
| | | | | | | ŀ |
| | | | | | | I |
| | | 7/ | | | | |
| Examiner | 7 | | | Date | 2/2// | _ |

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. *Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. *Applicant is to place a check mark here if English language

Considered

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

PTO/SB/08A (08-03)
Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Complete if Known Substitute for form 1449/PTO **Application Number** 10/020,554 Filing Date 12/3/2001 INFORMATION DISCLOSURE First Named Inventor Pham, Duc STATEMENT BY APPLICANT Art Unit 2134 (Use as many sheets as necessary) **Examiner Name** Poltorak, P

of

Sheet -

US-US-US- Attorney Docket Number | AESN3006

U. S. PATENT DOCUMENTS Pages, Columns, Lines, Where Examiner Cite No. Name of Patentee or Document Number **Publication Date** Initials MM-DD-YYYY Applicant of Cited Document Relevant Passages or Relevant Figures Appear Number-Kind Code^{2 (# known)} ^{US-} 6,061,650 A 05-09-2000 Malkin et al. Col 4, lines 23-28. ^{US-} 5,564,106 A 10-08-1996 Puhl et al. Col 2, lines 9-57; US-Col 4, lines 13-44. ^{US-} 6,405,315 B1 06-11-2002 Col 2, lines 28-44. Burns et al. US-ÙS-US-115-US-US-US-US-US-US. US-US-

| | | FOREI | GN PATENT DOCU | IMENTS | | |
|-----------------------|--------------|---|---------------------|--|---|---|
| Examiner Initials* | Cite No.1 | Foreign Patent Document | Publication Date | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages | |
| | | Country Code ³ "Number ⁴ "Kind Code ³ (if known) | MM-DD-YYYY | | Or Relevant Figures Appear | T |
| | | | | | | _ |
| | - | | | | | ┝ |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| Examiner Signature | T | 44 | | Date Considered | 2/2//01 | _ |

*EXAMINER: Initial if reference considered, whether or obt citation is in conformance with MPEP 609. Draw line through citation If not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The Information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Petent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

PTO/SB/08B (08-03)
Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
a collection of information unless it contains a valid OMB experience.

| Substitute for form 1449/PTO | Complete if Known | | |
|-----------------------------------|------------------------|-------------|--|
| | Application Number | 10/020,554 | |
| INFORMATION DISCLOSURE | Filing Date | 12/3/2001 | |
| STATEMENT BY APPLICANT | First Named Inventor | Pham, Duc | |
| (Use as many sheets as necessary) | Art Unit | 2134 | |
| (Ose as many sneets as necessary) | Examiner Name | Poltorak, P | |
| Sheet of 16 | Attorney Docket Number | AESN3006 | |

| Examiner Initials* | Cite No. ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T² |
|-----------------------|--------------------------|---|----|
| nP | | YOSHIDA et al., Virtualization — The Promise and the Reality, Sun Microsystems White Paper, 2001 | |
| <i> </i> | | Real-Time Mechanism for Accounting and Network Acces Control, IBM Technical Disclosure Bulletin, April 1994, US, Vol 37, Issue 4A, pg 337-340, April 1, 1994 | |
| | | | |
| | | | |
| | | | |
| | | · | |
| · | | | |
| | _ | · | |
| | | | |
| | | | |
| | | | |

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

considered. Include copy of this form with next communication to applicant.

Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will very depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:

Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Approved for use through 07/31/2006. OMB 0551-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Complete if Known Substitute for form 1449/PTO Application Number 10/020,554 Filing Date 12/3/2001 INFORMATION DISCLOSURE First Named Inventor Pham, Duc STATEMENT BY APPLICANT Art Unit 2134 (Use as many sheets as necessary) **Examiner Name** Poltorak, P Attorney Docket Number AESN3006 of 16

| | | | U. S. PATENT | DOCUMENTS | |
|-----------------------|--|--|--------------------------------|--|---|
| Examiner Initials* | Cite No. ¹ | Document Number Number-Kind Code ^{2 (f known)} | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
| 111 | | US- 5,822,531 | 10-13-1998 | Gorczyca et al. | |
| +" | | ^{US-} 6,006,259 | 12-21-1999 | Adelman et al. | |
| 6 | | US- 6,470,389 | 10-22-2002 | Chung et al. | |
| 7 | | ^{US-} 6,493,318 | 12-10-2002 | Bare | |
| | | ^{US-} 6,493,341 | 12-10-2002 | Datta et al. | |
| | | ^{US-} 5,655,120 | 08-05-1997 | Witte et al. | |
| | | ^{US-} 5,819,045 | 10-06-1998 | Raman et al. | |
| | | US- 5,539,883 | 07-23-1996 | Allon et al. | |
| | | ^{US-} 5,862,348 | 01-19-1999 | Pedersen | |
| | | ^{US-} 5,774,668 | 06-30-1998 | Choquier et al. | |
| | | ^{US-} 6,078,960 | 06-20-2000 | Ballard < | |
| | | ^{US-} 6,480,861 | 11-12-2002 | Kanevsky et al. | |
| | | ^{US-} 6,487,605 | 11-26.2002 | Leung | |
| | | ^{US-} 6,327,622 | 12-04-2001 | Jindal et al. | |
| | | US-6,438,652 | 08-20-2002 | Jordan et al. | |
| | | US- 6,424,621 | 07-23-2002 | Ramaswamy et al. | |
| Y | | ^{US-} 6,173,306 | 01-09-2001 | Raz et al. | |
| 1/ | | ^{US-} 6,272,522 | 08-07-2001 | Lin et al. | |
| V | | ^{US-} 6,505,254 | 01-07-2003 | Johnson et al. | |

| • | | FORE | IGN PATENT DOCU | MENTS | | |
|-----------------------|--------------|---|------------------------|--|---|----------|
| Examiner Initials* | Cite No.1 | Foreign Patent Document | Publication Date | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages | |
| | | Country Code ³ Number ⁴ Kind Code ⁵ (if known) | MM-DD-YYYY | | Or Relevant Figures Appear | ۲ |
| | | | | | | L |
| | ļ | | | | <u> </u> | <u> </u> |
| | | | | | | <u> </u> |
| | | | | | | ┢ |
| | | V7 | | | | ┝ |
| | | 16 | | | | |
| Examiner Signature | | 4 | | Date Considered | 7/3//06 | , |

*EXAMINER: Initial if reference considered whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. Applicant is to place a check mark here if English language

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

| Complete If Known | | | | |
|------------------------|-------------|-------|--|--|
| Application Number | 10/020,554 | ····· | | |
| Filing Date | 12/3/2001 | | | |
| First Named Inventor | Pham, Duc | | | |
| Art Unit | 2134 | | | |
| Examiner Name | Poltorak, P | | | |
| Attorney Docket Number | AESN3006 | | | |

| | | | U. S. PATENT | DOCUMENTS | |
|-----------------------|--------------|--|--------------------------------|--|---|
| Examiner Initials* | Cite No.1 | Document Number Number-Kind Code ^{2 (F known)} | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
| 10 0 | | US- 6,185,681 | 02-2001 | Zizzi, Stephen | 7 130100 7 444001 |
| 7 / | | | | · | |
| · 10 | | US- 5,584,023 | 12-1996 | Hsu, Mike | |
| /\ | | US- 5,596,718 | 01-1997 | Boebert et al. | |
| 4 1 | | ^{US-} 5,850,446 | 12-1998 | Berger et al. | |
| | | ^{US-} 6,286,104 | 09-2001 | Buhle et al. | |
| | | ^{US-} 6,377,577 | 04-2002 | Bechtolsheim et al. | |
| | | ^{US-} 6,378,072 | 04-2002 | Collins et al. | |
| | | ^{US-} 6,249,866 | 06-2001 | Brundrett et al. | |
| | | ^{US-} 6,647,400 | 11-2003 | Moran, Douglas | |
| | | ^{US-} 6,665,666 | 12-2003 | Brown et al. | |
| | | ^{US-} 6,671,773 | 12-2003 | Kazar et al. | |
| | | ^{US-} 2002/0091734 | 07-2002 | Redlich et al. | |
| 1_1 | | ^{US-} 2003/0046366 | 03-2003 | Pardikar et al. | |
| | | ^{US-} 2003/0056095 | 03-2003 | Elliott et al. | |
| | | us- 2003/0112977 | 06-2003 | Ray et al. | |
| | | ^{US-} 2003/0196114 | 10-2003 | Brew et al. | |
| | | US- | | | |
| | | US- | | | |
| | | US- | | | |

| Examiner | Cite | FORE Foreign Patent Document | IGN PATENT DOCL | JMENTS Name of Patentee or | Pages, Columns, Lines, | _ |
|----------|----------|---|--------------------|-----------------------------|--|----------|
| Initials | No.1 | Country Code ³ Number ⁴ 'Kind Code ⁵ (# known) | Date MM-DD-YYYY | Applicant of Cited Document | Where Relevant Passages Or Relevant Figures Appear | 16 |
| V | | WO 9900958 | 01-1999 | LEVERIDGE et al | | |
| 0.1 | | JP 08272667 | 10-1996 | NAKAMURA, Y. | | |
| 7/ | | | | | | Ľ |
| | <u> </u> | | | | | |
| | ļ | | | | | L |
| | <u> </u> | | | | <u> </u> | <u> </u> |
| Examiner | T | | | Date | 2/2/2 | 7 |

Considered Signature *EXAMINER: Initial if reference exastlered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. *Applicant's unique citation designation number (optional). *See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. *Senter Office that issued the document, by the two-letter code (WIPO Standard ST.3). *For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. *Skind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. *Applicant is to place a check mark here if English language

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

PTO/SB/08B (08-03) Approved for use through 07/31/2006. OMB 0651-0031

| | U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE |
|--|---|
| lador the Describer Poduction Act of 1995, no namena are required to respond | to a collection of information unless it contains a valid OMR control number. |

| Substitute for form 1449/PTO | Complete if Known | | |
|-----------------------------------|------------------------|-------------|--|
| Substitute for form 14437 10 | Application Number | 10/020,554 | |
| INFORMATION DISCLOSURE | Filing Date | 12/3/2001 | |
| STATEMENT BY APPLICANT | First Named Inventor | Pham, Duc | |
| (Use as many sheets as necessary) | Art Unit | 2134 | |
| (USB as many sheets as necessary) | Examiner Name | Poltorak, P | |
| Sheet ((of /6 | Attorney Docket Number | AESN3006 | |

| Examiner | Cite | NON PATENT LITERATURE DOCUMENTS Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of | | |
|-----------|------------|--|----------|--|
| Initials* | No.1 | the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | | |
| PP | , | BERTINO et al., Advanced Transaction Processing in Multilevel Secure File Stores, 1998 IEEE | | |
| | | CATTANEO et al., The Design and Implementation of Transparent Cryptographic Filesystems for UNIX, June 2001 | | |
| | | LUDWIG et al., File System encryption with Integrated Usr Management, October 2001 ACM | | |
| J. | | O'CONNELL et al., JFS: A Secure Distributed File System for Network Computers, 1999 | | |
| | | | | |
| | | | | |
| | | | | |
| | <u>-</u> . | | | |
| | | | | |
| · · · | | | | |
| | | | <u> </u> | |

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached. This collection of Information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

| Complete if Known | | | | |
|------------------------|-------------|--|--|--|
| Application Number | 10/020,554 | | | |
| Filing Date | 12/3/2001 | | | |
| First Named Inventor | Pham, Duc | | | |
| Art Unit | 2134 | | | |
| Examiner Name | Poltorak, P | | | |
| Attorney Docket Number | AFSN3006 | | | |

| | | | U. S. PATEN | DOCUMENTS | |
|-----------------------|--------------|--|--------------------------------|--|--|
| Examiner Initials* | Cite No.1 | Document Number Number-Kind Code ² (f known) | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevan Figures Appear |
| 1 | | ^{US-} 5,463,772 | 10-31-1995 | Thompson et al. | |
| 11 | | ^{US-} 5,931,947 | 08-03-1999 | Burns et al. | |
| 77 | | ^{US-} 5,007,082 | 04-09-1991 | Cummins | |
| - | | US- | | | |
| | | US- | <u> </u> | | |

| | | FORE | IGN PATENT DOCU | MENTS | | |
|-----------------------|--------------|---|---------------------|--|---|---|
| Examiner Initials* | Cite No.1 | Foreign Patent Document | Publication Date | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages | |
| | | Country Code ³ Number ⁴ Kind Code ⁵ (if known) MM-DD-YYYY | • | Or Relevant Figures Appear | T ⁶ | |
| | | · | | | | |
| | | | | | | |
| | | | | | | Ĺ |
| | | | | | | |
| | | | | | | |
| | | | | | • | |

Examiner Date Signature Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. Applicant is to place a check mark here if English language Translation is attached.

Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Complete if Known Substitute for form 1449/PTO **Application Number** 10/020,554 Filing Date 12/3/2001 INFORMATION DISCLOSURE First Named Inventor Pham, Duc STATEMENT BY APPLICANT Art Unit 2134 (Use as many sheets as necessary) Poltorak, P Examiner Name

Attorney Docket Number | AESN3006

| | | | | T DOCUMENTS | |
|---------------------|--------------|--|--------------------------------|--|---|
| xaminer nitials* | Cite No.1 | Document Number Number-Kind Code ^{2 (f known)} | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
| VV | | ^{US-} 6,202,157 | 03-13-2001 | Brownlie et al. | |
| 1, | | ^{US-} 6,219,790 | 04-17-2001 | Lloyd et al. | |
| | | ^{US-} 6,246,771 | 06-12-2001 | Stanton et al. | |
| | | ^{US-} 6,253,321 | 06-26-2001 | Nikander et al. | |
| | | ^{US-} 6,282,652 | 08-28-2001 | Scheifler | |
| | | ^{US-} 6,158,011 | 12-05-2000 | Chen et al. | |
| | | ^{US-} 6,286,104 | 09-04-2001 | Buhle et al. | |
| | | ^{US-} 6,304,973 | 10-16-2001 | Williams | |
| | | ^{US-} 6,438,612 | 08-20-2002 | Ylonen et al. | |
| | | ^{US-} 6,354,886 | 03-05-2002 | Howard et al. | |
| | | ^{US-} 6,499,110 | 12-24-2002 | Moses et al. | |
| | | ^{US-} 6,496,932 | 12-17-2002 | Trieger | |
| | | ^{US-} 6,571,287 | 05-27-2003 | Knight et al. | |
| | | ^{US-} 6,584,508 | 06-24-2003 | Epstein et al. | |
| | | ^{US-} 6,502,192 | 12-31-2002 | Nguyen | |
| | | ^{US-} 6,505,300 | 01-07-2003 | Chan et al. | |
| H | | ^{US-} 6,519,636 | 02-11-2003 | Engel et al. | |
| V | | ^{US-} 6,539,483 | 03-25-2003 | Harrison et al. | |
| 7/7 | | US- | | | |

| | | FORE | IGN PATENT DOCL | MENTS | | |
|----------|--------------|---|---------------------|--|---|----|
| | Cite No.1 | Foreign Patent Document | Publication Date | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages | |
| | | Country Code ³ Number ⁴ "Kind Code ³ (# known) | MM-DD-YYYY | | Or Relevant Figures Appear | T⁰ |
| 001 | | WO 02/103498 | 12-27-2002 | Gladstone | | |
| <u> </u> | | WO 01/37095 | 05-25-2001 | Hollander | | |
| 1 / . | | | | | | L |
| | | | | | | |
| | ļ | | | | | |
| | | | | | | |
| | <u> </u> | | | | | _ |

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 'Applicant's unique citation designation number (optional). 'See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. 'Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 'For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 'Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. 'Applicant is to place a check mark here if English tanguage

Considered

Examiner

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Approved for use through 07/31/2006. OMB 0651-0031 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

| Co | Complete if Known | | | | | |
|------------------------|-------------------|--|--|--|--|--|
| Application Number | 10/020,554 | | | | | |
| Filing Date | 12/3/2001 | | | | | |
| First Named Inventor | Pham, Duc | | | | | |
| Art Unit | 2134 | | | | | |
| Examiner Name | Poltorak, P | | | | | |
| Attorney Docket Number | AESN3006 | | | | | |

| | | | U. S. PATENT | DOCUMENTS | |
|-----------------------|--------------------------|--|-----------------------------|--|---|
| Examiner Initials* | Cite No. ¹ | Document Number Number-Kind Code ² (* known) | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
| IV | | ^{US-} .5,321,841 | 06-14-1994 | East et al. | |
| 7 | | ^{US-} 5,440,635 | 08-08-1995 | Bellovin et al. | |
| tA | | US- 5,349,642 | 09-20-1994 | Kingdon | |
| V | | ^{US-} 4,503,287 | 03-05-1985 | Morris et al. | |
| | | ^{US-} 5,586,260 | 12-17-1996 | Hu | |
| | | ^{US-} 4,423,287 | 12-27-1983 | Zeidler | |
| | | ^{US-} 5,550,984 | 08-27-1996 | Gelb | |
| | | ^{US-} 5,506,961 | 04-09-1996 | Carlson et al. | |
| | | ^{US-} 4,649,233 | 03-10-19987 | Bass et al. | |
| | | ^{US-} 5,412,717 | 05-02-1995 | Fischer | |
| | | ^{US-} 5,701,343 | 12-23-1997 | Takashima et al. | |
| | | ^{US-} 5,638,448 | 06-10-1997 | Nguyen | |
| 7 | - | ^{US-} 5,682,478 | 10-28-1997 | Watson et al. | · |
| | | ^{US-} 5,657,390 | 08-12-1997 | Elgamal et al. | |
| | | ^{US-} 5,602,918 | 02-11-1997 | Chen et al. | |
| 1 | | ^{US-} 5,649,099 | 07-15-1997 | Theimer et al. | |
| ΛI | | ^{US-} 5,790,800 | 08-04-1998 | Gauvin et al. | |
| V | | ^{US-} 5,680,461 | 10-21-1997 | McManis | |
| Y | | ^{US-} 5,784,463 | 07-21-1998 | Chen et al. | |

| FOREIGN PATENT DOCUMENTS | | | | | | | | | |
|--------------------------|--------------|--|---------------------|--|--------------------------------|-------------|---|--|--|
| Examiner Initials* | Cite No.1 | Foreign Patent Document | Publication Date | Name of Patentee or Applicant of Cited Document | Pages, Column Where Relevan | t Passages | Γ | | |
| | | Country Code ³ Number ⁴ Kind Code ⁶ (# known) | MM-DD-YYYY | | Or Relevant Fig | ures Appear | Ĺ | | |
| | | | | | | | | | |
| | <u> </u> | | | | | | | | |
| | | | · | | | | I | | |
| | | | | | | | Ī | | |
| | | | | | | | I | | |
| | | | | | | | I | | |
| | | 43/ | | 1 = | | - | _ | | |
| Examiner | T | | ··············· | Date | 7/ 7/ | 1 8 | ァ | | |

*EXAMINER: Initial if reference considered, whether or not diation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at www.uspio.gov or MPEP 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. Papilicant is to place a check mark here if English language

Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the Individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

| Under the Paperwork Reduction Act of 1995, no persons are required to | respond to a collection of Inform | nation unless it contains a valid OMB control numb | er. |
|---|-----------------------------------|--|-----|
| Substitute for form 1449/PTO | Complete if Known | | |
| | Application Number | 10/020,554 | _ |
| INFORMATION DISCLOSURE | Filing Date | 12/3/2001 | Der |
| | First Named Inventor | Pham, Duc | |
| | Art Unit | 2134 | _ |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary) | Examiner Name | Poltorak, P | |

Attorney Docket Number | AESN3006

| | | | U. S. PATEN | DOCUMENTS | |
|-----------------------|--------------|---|--------------------------------|--|---|
| Examiner Initials* | Cite No.1 | Document Number | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant |
| 14 | | Number-Kind Code ² (F known) | | | Figures Appear |
| 11/ | | ^{US-} 6,052,785 | 04-18-2000 | Lin et al. | |
| | | ^{US-} 5,941,947 | 08-24-1999 | Brown et al. | |
| 1 | | ^{US-} 5,825,890 | 10-20-1998 | Elgamal et al. | |
| | | ^{US-} 6,104,716 | 08-15-2000 | CCrichton et al. | |
| T | | ^{US-} 5,922,073 | 07-13-1999 | Shimada | |
| | | ^{US-} 6,061,796 | 05-09-2000 | Chen et al. | |
| 1// | | ^{US-} 6,084,969 | 07-04-2000 | Wright et al. | |
| -17 | | US- 2001/0016907 | 08-23-2001 | Kang et al. | |
| , | | US- 2002/1094495 | 12-19-2002 | Gladstone et al. | |
| TY Y | | US- | | | |
| | - | US- | | | |
| | | US- | - | | |
| | | US- | | | |
| | | US- | | | |

| | | FORE | IGN PATENT DOCU | MENTS | | |
|-----------------------|--------------|---|-----------------------------|--|---|----------|
| Examiner Initials* | Cite No.¹ | Foreign Patent Document Country Code ³ Number ⁴ Kind Code ⁵ (# known) | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear | Γ |
| | | | | | | T° |
| • | | | | | ļ | ┡ |
| | | | | , | | ╄ |
| | ļ | | | | | ╄ |
| | | | | | ļ | ┢ |
| | <u> </u> | | | | | 느 |
| | Ц | | _`1 | | l | <u> </u> |
| Examiner Signature | 1 | A) | | Date Considered | 7/3/106 | |

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. *Applicant's unique citation designation number (optional). *See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. *Senter Office that issued the document, by the two-letter code (WIPO Standard ST.3). *For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. *Kind of document by the appropriate symbols as Indicated on the document under WIPO Standard ST.16 if possible. *Applicant is to place a check mark here if English language Translation is attached.

Translation is attached.
This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Complete if Known Substitute for form 1449/PTO **Application Number** 10/020,554 Filing Date 12/3/2001 INFORMATION DISCLOSURE First Named Inventor Pham, Duc STATEMENT BY APPLICANT Art Unit 2134 (Use as many sheets as necessary) Poltorak, P **Examiner Name** Attorney Docket Number AESN3006 of 16

| Examiner Initials* | Cite No.1 | Document Number | Publication Date MM-DD-YYYY | | Name of Patentee or pplicant of Cited Document | Pages, Columns, Lines, Who Relevant Passages or Relev | |
|-----------------------|--------------|---|-----------------------------|-------------------|--|--|---|
| -6- | | Number-Kind Code ² (f known) | | | | Figures Appear | |
| | | ^{US-} 5235641 | 08.10.1993 | Nozaw | a et al. | | |
| 1 | | ^{US-} 5065429 | 11.12.1991 | Lang | | | |
| | | ^{US-} 6175924 | 01.16.2001 | Arnold | | | |
| | | US- 5235642 | 08.10.1993 | Wobbe | er et al. | | |
| | | US- 6185684 02.06.20 | | 01 Pravetz et al. | | | |
| | | ^{US-} 4588991 | 05.13.1986 | Atalla | | | |
| | | US- 5720034 02.17.19 | | 998 Case | | | |
| | | us- 5940507 | 08.17.1999 | Cane e | et al. | | |
| | | ^{US-} 5150407 | 09.22.1992 | Chan | | | |
| | | US- | | | | | |
| | | US- | | | | | _ |
| | | US- | | | " | | |
| 7 | | US- | | | | | |
| 1 | | US- | | | | | |
| | | US- | | | | | |
| | | US- | | | | | |
| 1 | | US- | | | - | | |
| 1 | | US- | | | | | |
| | | US- | | | | | _ |
| | | | FORFIGUEDA | | | · | _ |
| Examiner Initials* | Cite No.1 | FOREIGN Foreign Patent Document Country Code ³ Number ⁴ Kind Code ⁶ (# known) | | Publication Date | Name of Patentee or Applicant of Cited Document | | Τ |
| 1/ | | | | M-DD-YYYY | | | ľ |
| | WO 02/093389 | | | .21.2002 | Avida | | t |
| 11 | | | | .21.2002 | Avida | | ħ |

| Examiner Initials* | Cite No. ¹ | Foreign Patent Document Country Code ³ Number * Kind Code ⁶ (# known) | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear | Т ⁶ |
|-----------------------|--------------------------|--|-----------------------------|--|---|----------------|
| | | WO 02/093389 | 11.21.2002 | Avida | | |
| | | WO 02/093314 | 11.21.2002 | Avida | | |
| | | | | | | |
| | <u> </u> | | | | | |
| | <u> </u> | | | | | L |
| L | l | | | | <u> </u> | |
| Examiner | T | 4 | | Date | 3/3/1/ | |

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. Applicant is to place a check mark here if English language

Considered

Signature

Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.